



PATENT

Attorney Docket No. 27969-702

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application)	<u>PATENT APPLICATION</u>
)	
Inventor(s): R. Christopher deCharms)	
)	Art Unit: 3737
Application No.: 10/066,004)	
)	Examiner: SHAW, S.J.
Filed: January 30, 2002)	
)	
Title Methods for Physiological Monitoring)	
Training, Exercise and Regulation)	
)	

Commissioner of Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Sir:

Applicants hereby submit an Information Disclosure Statement along with attached form(s) PTO/SB/08. A copy of each listed publication is being submitted herewith, along with a concise explanation of information in a foreign language, if any, pursuant to 37 C.F.R. §1.97-1.98.

Applicants respectfully request that the listed information be considered by the Examiner and be made of record in the above-identified application. Applicants further request that the Examiner initial and return the attached form(s) PTO/SB/08 in accordance with MPEP §609.

Applicants reserves the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement is not intended to represent that a search has been made or that the information cited in the statement is, or is considered to be, prior art or material to patentability as defined in §1.56.

- ☐ This statement qualifies under 37 C.F.R. §1.97, subsection (b) because:
- ☐ (1) It is being filed within 3 months of the application filing date and is other than a continued prosecution application under § 1.53(d)
-- OR --
- ☐ (2) It is being filed within 3 months of entry of a national stage
-- OR --
- ☐ (3) It is being filed before the mail date of the first Office Action on the merits
-- OR --
- ☐ (4) It is being filed before the mailing of a first Office Action after the filing of a request for continued examination under § 1.114.
- ☒ 37 C.F.R. §1.97(c). If this statement is being filed after the latest of: (1) three months beyond the filing date of a national application; (2) three months beyond the date of entry of the national stage as set forth in §1.491 in an international application; or (3) the mailing date of a first Office action on the merits, but before the mailing date of the earlier of a final office action under §1.113 or a notice of allowance under §1.311, then:
- ☒ a certification as specified in §1.97(e) is provided below; **or**
- ☐ a fee of \$180.00 as set forth in §1.17(p) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.
- ☐ 37 C.F.R. §1.97(d). If this statement is being filed after the mailing date of the earlier of a final office action under §1.113 or a notice of allowance under §1.311, but before payment of the issue fee, then:
- A. a certification as specified in §1.97(e) is completed below; and
- B. a petition under 37 C.F.R. §1.97(d) requesting consideration of this statement is submitted herewith; **and**
- C. a fee of \$130.00 as set forth in §1.17(i)(1) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.
- ☐ Copies of each of the references listed on the attached Form PTO/SB/08 are enclosed herewith.
- ☒ Copies of references listed on the attached Form PTO/SB/08 are enclosed herewith EXCEPT THAT:
- ☐ In view of the voluminous nature of references, and the likelihood that these references are available to the Examiner in the file history of the parent application (Serial No.), copies are not enclosed herewith.
- ☐ If any of the foregoing publications are not available to the Examiner, Applicant will endeavor to supply copies at the Examiner's request.

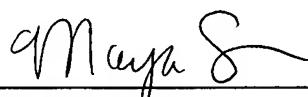
- ☒ Copies of only foreign patent documents and non-patent literature are enclosed in accordance with 37 CFR 1.98 (a)(2). (The U.S. patents and each U.S. patent application publication listed on the attached Form PTO-1449 are not enclosed because this U.S. patent application was filed after June 30, 2003 or this international application has entered the national stage under 35 USC §371 after June 30, 2003 (see USPTO waiver of requirement under 37 CFR 1.98 (a)(2)(i).
- ☒ There are no listed references which are not in the English language.
- ☐ The relevance of those listed references which are not in the English language is as follows:
- ☐ Attached are copies of search report(s) from corresponding patent application(s), submitted in accordance with MPEP 609 D in support of the attached certification under 37 CFR 1.97(e)(1).
- ☐ Attached are the following non-published pending patent applications which may be deemed relevant.
- ☒ *Fee Authorization.* The Commissioner is hereby authorized to charge the above-referenced fees of \$0.00 and charge any additional fees or credit any overpayment associated with this communication to Deposit Account No. 23-2415 (Docket No.27969-702).

Respectfully submitted,

WILSON SONSINI GOODRICH & ROSATI

Dated: November 5, 2004

By:



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CERTIFICATION

(Attachment to Information Disclosure Statement)

- ☐ 37 C.F.R. §1.97(e)(1). **APPLICANT'S UNDERSIGNED ATTORNEY HEREBY CERTIFIES THAT** each item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement; or
- ☒ 37 C.F.R. §1.97(e)(2). **APPLICANT'S UNDERSIGNED ATTORNEY HEREBY CERTIFIES THAT** no item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the information disclosure statement.

Respectfully submitted,

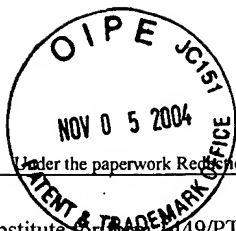
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PTO/SB/08A (08-03)

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Substitute for Form 1449/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>				Complete if Known	
				Application Number	10/066,004
				Filing Date	January 30, 2002
				First Named Inventor	R. Christopher deCharms
				Art Unit	3737
				Examiner Name	SHAW, S.J.
Sheet	1	of	4	Attorney Docket Number	27969-702

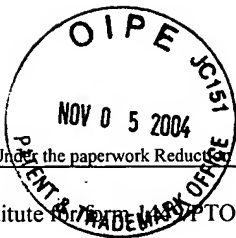
U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
	AA	US-5,267,570	12/7/1993		
	AB	US-5,280,793	01/25/1994		
	AC	US-5,522,863	06/04/1996		
	AD	US-5,638,826	06/17/1997		
	AE	US-5,810,747	09/22/1998		
	AF	US-5,875,108	02/23/1999		
	AG	US-6,042,548	03/28/2000		
	AH	US-6,374,140	04/16/2002		
	AI	US-6,402,520	06/11/2002		
	AJ	US-6,539,263	03/25/2003		
	AK	US-6,539,246	03/25/2003		
	AL	US-6,161,031	12/12/2000		
	AM	US-5,638,826	06/17/1997		
	AN	US-5,215,095	06/01/1993		
	AO	US-5,531,227	07/02/1996		

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ - Number ⁴ - Kind Code ⁵ (if known)				
	AP	EP1128188A2	08/29/2001			
	AQ	EP512577A2	11/11/1992			
	AR	WO97/10747	04/07/1999			
	AS	WO97/26823	03/03/1999			
	AT	WO99/63355	12/09/1999			

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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				Art Unit	3737	
				Examiner Name	SHAW, S.J.	
Sheet	2	of	4	Attorney Docket Number		27969-702

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	BA	Kotchoubey et al., "A New Method For Self-Regulation of Slow Cortical Potentials in a Timed Paradigm", Applied Psychophysiology and Biofeedback, Vol. 22, No. 2, pp. 77-93 (1997).	
	BB	Thompson, L. and Thompson M., "Neurofeedback Combined with Training in Metacognitive Strategies: Effectiveness in Students with ADD", Applied Psychophysiology and Biofeedback, Vol. 23, No. 4, pp. 243-263 (1998).	
	BC	Siniatchkin, Michael, Kropp, Peter and Gerber, Wolf-Dieter, "Neurofeedback The Significance of Reinforcement and the Search for an Appropriate Strategy for the Success of Self-regulation", Applied Psychophysiology and Biofeedback, Vol. 25, No. 3, pp. 167-175 (1998).	
	BD	Toni et al., "The Time Course of Changes during Motor Sequence Learning: A Whole-Brain fMRI Study", Neuroimage, Vol. 8, pp. 50-61 (1998).	
	BE	Wilding, Edward L., "Event-Related Functional Imaging and Episodic Memory", Neuroscience & Biobehavioral Reviews, Vol. 25, pp. 545-554 (2001).	
	BF	Arfanakis, Konstantinos, Cordes, Dietmar, Houghton, Victor M., Moritz, Chad H., Quigley, Michelle A., and Meyerand, Mary E., "Combining Independent Component Analysis and Correlation Analysis to Probe Interregional Connectivity in fMRI Task Activation Datasets", Magnetic Resonance Imaging, Vol. 18, No. 8., pp. 921-930 (2000).	

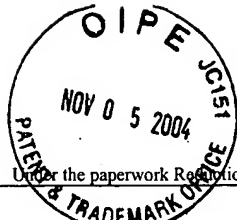
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¹Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	CA	Bock, Michael, Schad, Lothar R., Müller, Edgar, and Lorenz, Walter J., "Pulsewave Velocity Measurement Using a New Real-Time MR-Method", Magnetic Resonance Imaging, Vol. 13, No 1, pp. 21-29 (1995).	
	CB	Ngan, Shing-Chung, Auffermann, William F., Sarkar, Shantanu, and Hu, Xiaoping, "Activation Detection in Event-Related fMRI Data based on Spatio-Temporal Properties", Magnetic Resonance Imaging, Vol. 19, No. 9, pp. 1149-1158 (2001).	
	DCC	Pantel, J, Schröder, J, Schad, L.R., Friedlinger, M., Knopp, M.V., Schmitt, R., Geissler, M., Blüml, S., Essig, M. and Sauer, H., "Quantitative Magnetic Resonance Imaging and Neuropsychological Functions in Dementia of the Alzheimer type", Psychological Medicine, Vol. 27, pp. 221-229 (1997).	
	CD	Pantel, J, Schröder, J, Schad, L.R., Friedlinger, M., Knopp, M.V., Schmitt, R., Geissler, M., Blüml, S., Essig, M. and Sauer, H., "Quantitative Magnetic Resonance Imaging and Neuropsychological Functions in Dementia of the Alzheimer type", Psychological Medicine, Vol. 27, pp. 221-229 (1997).	
	CE	Schröder, Johannes, Essig, Marco, Baudendistel, Klaus, Jhan, Thomas, Gerdson, Ingo, Stockert, Andreas, Schad, Lothar R. and Knopp, Michael V., "Motor Dysfunction and Sensorimotor Cortex Activation Changes in Schizophrenia: A Study with Functional Magnetic Resonance Imaging", NeuroImage, Vol. 9, pp. 81-87 (1999).	
	CF	Yoo, Seung-Schik, Guttmann, Charles R. G., Zhao, Lei and Panych, Lawrence P., "Real-Time Adaptive Functional MRI", NeuroImage, Vol. 10, pp. 596-606 (1999)	

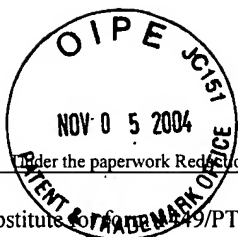
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	DA	Fong, Grace, Knutson, Brian, Adams, Charles, Hommer, Daniel, "Event-Related fMRI Reveals Distinct Neural Correlates of Reward Anticipation versus Feedback", NeuroImage, Vol. 13, No. 6, Part 2 of 2 Parts (2001).	
	DB	Zacks, Jeff, Rypma, Bart, Gabrieli, J.D.E., Tversky, Barbara, Glover, Gary H., "Imagined Transformations of Bodies: An fMRI Investigation", Neuropsychologia, Vol. 37, pp. 1029-1040 (1999).	
	DC	D'Esposito, M., Detre, J. A., Aguirre, G. K., Stallcup, M., Alsop, D. C., Tippet, L. J. and Farah, M. J., "A Functional MRI Study of Mental Image Generation", Neuropsychologia, Vol. 35, No. 5, pp. 725-730 (1997)	
	DD	Paus, Tomáš, "Imaging the Brain Before, During, and After Transcranial Magnetic Stimulation", Neuropsychologia, Vol. 37, pp. 219-224 (1999).	
	DE	Downing, Paul, Liu, Jia, Kanwisher, Nancy, "Testing Cognitive Models of Visual Attention with fMRI and MEG", Neuropsychologia, Vol. 39, pp. 1329-1342 (2001).	

Examiner signature		Date Considered	
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